

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

POLISHING METHOD AND ELECTROPOLISHING APPARATUS

Case No. _____, the specification of which

(check one) ☒ Is attached hereto.
☐ was filed on _____ as
Application Serial No. _____
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent Office all information which is known to me to be material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, 1.56.¹

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and I believe that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application, and that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns, except as identified below:

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below

Prior Foreign Application(s)

Number

Country

Date

P2001-366341

JAPAN

November 30, 2001

and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the above listed application on which priority is claimed:

¹ (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

Prior Foreign Application(s)
Number Country Date

If no priority is claimed, I have identified all foreign patent applications filed prior to this application:

Prior Foreign Application(s)
Number Country Date

And I hereby appoint Lewis T. Steadman, Sr. (Reg. No. 17,074), Robert J. Depke (Reg. No. 37,607), Todd S. Parkhurst (Reg. No. 26,494), Kevin Buford (Reg. No. 34,786), Stefan V. Stein (Reg. No. 29,702), Anderson L. Baldy (Reg. No. 40,496) and all members of the firm of Holland & Knight LLP.

Telephone: (312) 263-3600

as my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and direct that all correspondence be forwarded to:

Att: Lewis T. Steadman Sr.
& Robert J. Depke
Holland & Knight LLP
55 West Monroe Street, Suite 800
Chicago, Illinois 60603

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor SHUZO SATO

Inventor's signature Shuzo Sato Date October 11, 2002
Residence Kanagawa, Japan
Citizenship Japanese
Post Office Address c/o SONY CORPORATION, 7-35, Kitashinagawa 6-chome,
Shinagawa-ku, Tokyo, Japan

Full name of second joint inventor,
(if any) TAKESHI NOGAMI

Inventor's signature Takeshi Nogami Date Nov. 11 '02
Residence Kanagawa, Japan
Citizenship Japanese
Post Office Address c/o SONY CORPORATION, 7-35, Kitashinagawa 6-chome,
Shinagawa-ku, Tokyo, Japan

Full name of third joint inventor,
(if any) ZENYA YASUDA

Inventor's signature Zenya Yasuda Date Oct. 17, 2002
Residence Kanagawa, Japan
Citizenship Japanese
Post Office Address c/o SONY CORPORATION, 7-35, Kitashinagawa 6-chome,
Shinagawa-ku, Tokyo, Japan

Full name of fourth joint inventor,
(if any) MASAO ISHIHARA

Inventor's signature Masao Ishihara Date Oct. 31. 2002
Residence Tokyo, Japan
Citizenship Japanese
Post Office Address c/o SONY CORPORATION, 7-35, Kitashinagawa 6-chome,
Shinagawa-ku, Tokyo, Japan

Full name of fifth joint inventor,
(if any) _____

Inventor's signature _____ Date _____
Residence _____
Citizenship _____
Post Office Address _____

Full name of sixth joint inventor,
(if any) _____

Inventor's signature _____ Date _____
Residence _____
Citizenship _____
Post Office Address _____

Full name of seventh joint inventor,
(if any) _____

Inventor's signature _____ Date _____
Residence _____
Citizenship _____
Post Office Address _____

Full name of eighth joint inventor,
(if any) _____

Inventor's signature _____ Date _____
Residence _____
Citizenship _____
Post Office Address _____

Full name of ninth joint inventor,
(if any) _____

Inventor's signature _____ Date _____
Residence _____
Citizenship _____
Post Office Address _____

APRIL 01, 2003

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

HOLLAND & KNIGHT, LLP
ROBERT J. DEPKE
55 WEST MONROE STREET, SUITE 800
CHICAGO, IL 60603



102298976A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/26/2002

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NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SATO, SHUZO

DOC DATE: 11/06/2002

ASSIGNOR:

NOGAMI, TAKESHI

DOC DATE: 11/06/2002

ASSIGNOR:

YASUDA, ZENYA

DOC DATE: 11/06/2002

ASSIGNOR:

ISHIHARA, MASAO

DOC DATE: 11/06/2002

ASSIGNEE:

SONY CORPORATION

7-35, KITASHINAGAWA

6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN

SERIAL NUMBER: 10304174

FILING DATE: 11/26/2002

PATENT NUMBER:

ISSUE DATE:

TARA WASHINGTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

12-03-2002

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U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings ⇌ ⇌ ⇌ ▼ ▼ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Shuzo Sato Masao Ishihara
Takeshi Nogami
Zenya Yasuda

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

MRA 11/26/02

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: November 6, 2002

2. Name and address of receiving party(ies)

Name: Sony Corporation

Internal Address: _____

Street Address: 7-35 Kitashinagawa

6-Chome, Shinagawa-ku, Tokyo, Japan

City: _____ State: _____ Zip: _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No



4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 10/11/02

A. Patent Application No.(s)

B. Patent No.(s)

10304174

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Robert J. Depke

Internal Address: Holland & Knight LLP

1/29/2002 SSANDARA 00000001 10304174

2 FC: 021 40.00 OP

Street Address: 55 West Monroe Street

Suite 800

City: Chicago State: IL Zip: 60603

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Robert J. Depke

Name of Person Signing


Signature

11/26/02
Date

Total number of pages including cover sheet, attachments, and documents: 2

Mail documents to be recorded with (required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

Docket Number: _____

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in POLISHING METHOD AND ELECTROPOLISHING APPARATUS

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: _____, Filing Date: _____.

This assignment executed on the dates indicated below.

HUZO SATO

name of first or sole inventor

Execution date of U.S. Patent Application

Shinagawa, Japan

residence of first or sole inventor

Shuho Sato

signature of first or sole inventor

October 11, 2002

Date of this assignment

TAKESHI NOGAMI

Name of second inventor

Kanagawa, Japan

Residence of second inventor

Takeshi Nogami
Signature of second inventor

Execution date of U.S. Patent Application

Nov. 11/02

Date of this assignment

ZENYA YASUDA

Name of third inventor

Kanagawa, Japan

Residence of third inventor

Zenya Yasuda
Signature of third inventor

Execution date of U.S. Patent Application

Oct. 17, 2002

Date of this assignment

MASAO ISHIHARA

Name of fourth inventor

Tokyo, Japan

Residence of fourth inventor

Masao Ishihara
Signature of fourth inventor

Execution date of U.S. Patent Application

Oct. 31, 2002

Date of this assignment

Name of fifth inventor

Execution date of U.S. Patent Application

Residence of fifth inventor

Signature of fifth inventor

Date of this assignment